

SURPLUS LINES FORMS AND INSTRUCTIONS

General Information

The Delaware Insurance Commissioner has several distinct areas of regulatory responsibility for surplus lines:

- *Monitor transactions to ensure that the conditions in 18 Del. C., Ch. 19 are met*
- *Gather and analyze data pertinent to the insurance marketplace to identify deficiencies in coverage that may exist in the state*
- *Collect premium tax on gross written insurance premium*
- *Enforce surplus lines licensee compliance with established reporting requirements*

It is through reports and document filings submitted by the SLB that the Department accomplishes these duties. The Forms listed in the table below are **required** forms and must be submitted as instructed. Please note that the forms have been re-numbered to correspond to the section of the Delaware Insurance Code that requires the filing. All forms are available on the Department's website. Detailed instructions for the completion of each of these forms, including tables with details for each field on the forms and samples marked with reference numbers, are available for each form. Please follow the instructions carefully.

IMPORTANT: All individual SL brokers, regardless of business volume, must file the SL-1916 and SL-1917 tax forms. So called "No business" or "Zero" reports are required.

REQUIRED SURPLUS LINES FILING FORMS			
FORM NAME:	FORM NUMBER:	WHEN DUE:	SEND TO:
Statement of Diligent Effort	SL-1904	within 30 days of effective date of policy	Retain in SLB office records – DO NOT SUBMIT to Delaware Insurance Department
SL Notice of Insurance Transaction	SL-1905	within 30 days of effective date of policy or change	Send via email: SLExam@state.de.us
Binder/Policy Number Replacement	SL-1908	as soon as policy number is available	Delaware Insurance Department Attn: Surplus Lines Section 841 Silver Lake Blvd. Dover, DE 19904-2465
Business Entity Report of Responsible Individual Surplus Lines Brokers	SL-1706	on or before March 1 each year	Delaware Insurance Department Attn: Surplus Lines Section 841 Silver Lake Blvd. Dover, DE 19904-2465
SL Premium Tax Quarterly Summary Report	SL-1917	April 30 July 30 October 30 January 30	Delaware Insurance Department c/o National City Bank Choose either USPS or Courier address as instructed on Form
SL Premium Tax Annual Summary Report	SL-1916	on or before March 1 each year	Delaware Insurance Department c/o National City Bank Choose either USPS or Courier address as instructed on Form

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General Information (continued)

IMPORTANT: All surplus lines licensees – individual brokers and business entities – must use their 7-digit Delaware SL license number as their Broker ID or Agency ID. This number will be consistently used by the Department for SLB identification. The 7-digit Broker ID should be used on all correspondence to the Department, including all forms. Agencies should also use their 7-digit Delaware business entity SL license number for identification purposes. Although the premium tax section of the Department retains SSN and FEIN in the tax data records, those numbers are only used for cross-matching purposes, not as general identification numbers.

In addition to submitting these reports with the Department as instructed, all SL brokers must maintain copies of the filings in their office records. According to 6 Del. C., §12A-112, records may be kept in electronic format. The records must be open to inspection by the Commissioner for 5 years after the issuance of the policy to which the records relate.

Any questions regarding SL filings should be directed to Ann Fletcher, Tax Coordinator, via email at Ann.Fletcher@state.de.us, or call 302-674-7300 and ask for the Surplus Lines section.